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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/627,019	07/25/2003	Bhavna Bhatnagar	SUN-P8951	3673
32615	7590	12/12/2006	EXAMINER	
OSHA LIANG L.L.P./SUN 1221 MCKINNEY, SUITE 2800 HOUSTON, TX 77010			BANKS, CORBANN	
			ART UNIT	PAPER NUMBER
			2132	

DATE MAILED: 12/12/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

10/627,019

Applicant(s)

BHATNAGAR ET AL.

Examiner

Corbann A. Banks

Art Unit

2132

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 25 July 2003.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1 - 32 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☒ Claim(s) 1 - 32 is/are allowed.
- 6) ☒ Claim(s) 1 - 6, and 8 - 32 is/are rejected.
- 7) ☒ Claim(s) 7 is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
 - ☐ Certified copies of the priority documents have been received in Application No. _____.
 - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- ☒ Notice of References Cited (PTO-892)
- ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- ☐ Information Disclosure Statement(s) (PTO/SB/08)
Paper No(s)/Mail Date _____
- ☐ Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____
- ☐ Notice of Informal Patent Application
- ☐ Other: _____

DETAILED ACTION

Specification

On page 11 – 12 of the specification, the word accessible is repeatedly misspelled – “accessable”.

Claim Objections

Claims 1, 4, 28, and 30 are objected to because they contain what is construed to be a typographical error. All the claims in question recite “ storing said second certificate (network address) of said second affiliated entity in a second trusted partner list accessible by said **second** affiliated entity; ”. However, page 11 of the specification states “The certificate of the second affiliated entity is stored in a trusted partner list accessible to the **first** affiliated entity, at step 360... The network address of the second affiliated entity is stored in the trusted partner list accessible to the **first** affiliated entity, at step 360.” This contradicts what is stated in the claims in question.

Claim Rejections - 35 USC § 101

35 U.S.C. 101 reads as follows:

Whoever invents or discovers any new and useful process, machine, manufacture, or composition of matter, or any new and useful improvement thereof, may obtain a patent therefor, subject to the conditions and requirements of this title.

Claims 12 - 16 are rejected under 35 U.S.C. 101 as non-statutory subject matter.

These claims recite a “system”. However, the recited elements are solely “modules” which are computer software per se. MPEP 2106.01 I

Claim Rejections - 35 USC § 112

The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

Claims 12 - 27 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention. Claim 12 recites "said second affiliated entity". However, there is no previous mention of such "second affiliated entity" in the independent claim 12, thus showing a lack of antecedent basis. Claim 21 recites "a second trusted partner list ". However, there is no previous mention of "a first trusted partner list" in the independent claim 21, thus making the claim vague and indefinite. Claim 27 recites "said first session module determines said network address of said session module from an HTTP header. " However, in the independent claim 21, there are two session modules mentioned. Hence, claim 27 does not explicitly state which session module's network address is being determined from an HTTP header by the "said first session module", thus making the claim vague and indefinite.

Claims 13 – 20 and 22 – 26 are also rejected based on their dependency on rejected claims 12 and 21 above

Claim Rejections - 35 USC § 102

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

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A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

Claims 1, 8, 12 – 15, 18 - 19, 21 – 22, 24 - 25, and 30 are rejected under 35

U.S.C. 102(e (1)) as being anticipated by Yasala et al. (USPGPub # 2003/0188156 A1).

Examiner has pointed out particular references contained in the prior arts of record in the body of this action for the convenience of the applicant. Although the specified citations are representative of the teachings in the art and are applied to the specific limitations within the individual claim, other passages and figures may apply as well. Applicant should consider the entire prior art as applicable as to the limitations of the claims. It is respectfully requested from the applicant, in preparing the response, to consider fully the entire references as potentially teaching all or part of the claimed invention, as well as the context of the passage as taught by the prior arts or disclosed by the examiner.

As per claims 1, 8, 12, 21, and 30: Yasala shows a method / system / computer readable medium for providing a circle of trust comprising: receiving a first certificate of a first affiliated entity by a second affiliated entity (see paragraph 0030); storing said first certificate of said first affiliated entity in a first trusted partner list accessible by said second affiliated entity (see paragraph 0025, and Figure 3, element 306); receiving a second certificate of said second affiliated entity by said first affiliated entity (see paragraph 0028); and storing said second certificate of said second affiliated entity in a second trusted partner list accessible by said second affiliated entity (see paragraph 0025, and Figure 3, element 302); wherein access to a resource is controlled as a function of said first trusted partner list or said second trusted partner list (see abstract, "In one embodiment of the invention is a method to use authentication certificates to authorize peers to particular applications"); a first affiliated entity comprising; a first administration module (see Figure 3, elements 300 and 322); and a first trusted partner list communicatively coupled to said first administration module (see Figure 3, element 302); and said second affiliated entity comprising; a second administration module (see Figure 3, element 304, and paragraph 0043); and a second trusted partner list communicatively coupled to said second administration module (see Figure 3, element 306).

As per claims 2, 8, and 31: Yasala shows a method / system / computer readable medium for providing a circle of trust comprising: initiating user of a resource on a

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relying party device by a client device (see Figures 2 and 4, steps 202 and 402), wherein an authentication assertion reference is provided by a client device (see Figures 2 and 4, steps 204 and 404); determining an identity of an issuing party as a function of said authentication assertion reference (see Figures 2 and 4, steps 206 and 406); sending an authentication request containing a certificate of said relying party to said issuing party (see Figures 2 and 4, steps 208 and 410); determining if said certificate is contained in a trusted partner list of said issuing party (see Figure 4, step 414, and Figure 3, element 320); sending an authentication assertion, indicating that said client has been authenticated, from said issuing party to said relying party when said certificate is contained in a trusted partner list of said issuing party (see Figure 4, step 418); sending an authentication assertion, indicating that said client has not been authenticated, from said issuing party to said relying party when said certificate is not contained in said trusted partner list of said issuing party (see Figure 4, step 416); and providing said requested resource to said client device by said relying party when said authentication assertion indicates that said client has been authenticated (see paragraphs 0048 - 0049, and Figures 5 and 6, elements 504 and 302, and 604 with 302).

As per claims 3, 11, and 32: Yasala shows the additional limitation - further comprising: logging-on to said issuing party utilizing said client device; and authenticating said client device by said issuing party (see Figure 4, steps 402 - 418).

As per claims 13: Yasala shows the additional limitation - wherein said first administration module receives said credential of said second affiliated entity (see paragraphs 0027 and 0028).

As per claims 14: Yasala shows the additional limitation - wherein said first administration module stores said credential of said second affiliated entity in a trusted partner list (see paragraph 0025).

As per claims 15: Yasala shows the additional limitation - wherein said credential comprises a certificate (see Figure 3, element 308).

As per claims 19 and 25: Yasala shows the additional limitation - wherein said first session module determines a trusted status of said second affiliated entity as a function

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of a certificate received from said second session module (see abstract, "In addition to using authentication certificates to authenticate the identity and trustworthiness of a peer, authentication certificates are additionally used to authorize peers to particular applications").

As per claims 22: Yasala shows the additional limitation - wherein said first session module provides for secure transfer of information for authenticating a user on said client device (see paragraphs 0018 and 0019).

As per claims 18 and 24: Yasala shows the additional limitation - wherein said second session module determines the identity of an issuing party as a function of an authentication assertion reference received from said client device (see abstract, "In addition to using authentication certificates to authenticate the identity and trustworthiness of a peer, authentication certificates are additionally used to authorize peers to particular applications", and paragraph 0031).

Claim Rejections - 35 USC § 103

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

Claims 4, 6, 10, 16, 20, and 26 – 28 are rejected under 35 U.S.C. 103(a) as being unpatentable over Yasala et al. (USPGPub # 2003/0188156 A1) in view of Hind et al. (US Patent # 6,826,690 B1).

Examiner has pointed out particular references contained in the prior arts of record in the body of this action for the convenience of the applicant. Although the specified citations are representative of the teachings in the art and are applied to the specific limitations within the individual claim, other passages and figures may apply as well. Applicant should consider the entire prior art as applicable as to the limitations of the

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claims. It is respectfully requested from the applicant, in preparing the response, to consider fully the entire references as potentially teaching all or part of the claimed invention, as well as the context of the passage as taught by the prior arts or disclosed by the examiner.

Here, the Yasala reference has disclosed all the limitations of the rejected claims as it has been applied to above. However, Yasala does not teach the use of network addresses (internet protocol (IP) addresses) as authentication credentials.

On the other hand, Hind does teach the use of IP (or network) addresses as authentication credentials (see column 11, lines 12 - 24) described in the claim 6 and 10 above, which are quite capable of being used as described in claim 4 as well.

Hence, it would have been obvious to one of ordinary skill in the art to have included the methods and technology shown in Hind, into the invention taught by Yasala above, in order to make it much more difficult for an attacker to masquerade as a valid source of assigned addresses, and to perform various types (such as misdirecting clients or servers to use improper addresses, sending corrupted data to a server which has requested an address assignment, etc.) in its assumed role (see column 11, lines 33 – 39 of the Hind reference). This would help ensure that the client (or entity) communicates with the legitimate target server (or entity see column 11, lines 45 – 47 of the Hind reference). Claims 16, 20, and 26 – 28 have limitations where the use of IP (or network) addresses as authentication credentials are strikingly similar to those in claims 4, 6, and 10, and thus are rejected under the same premise.

Claims 5, 9, and 29 are rejected under 35 U.S.C. 103(a) as being unpatentable over

Yasala et al. (USPGPub # 2003/0188156 A1) in view of Hind et al. (US Patent #

6,826,690 B1).

Examiner has pointed out particular references contained in the prior arts of record in the body of this action for the convenience of the applicant. Although the specified citations are representative of the teachings in the art and are applied to the specific limitations within the individual claim, other passages and figures may apply as well. Applicant should consider the entire prior art as applicable as to the limitations of the claims. It is respectfully requested from the applicant, in preparing the response, to consider fully the entire references as potentially teaching all or part of the claimed invention, as well as the context of the passage as taught by the prior arts or disclosed by the examiner.

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Here, the Yasala reference has disclosed all the limitations of the rejected claims as it has been applied to above. However, Yasala does not teach the use of network addresses (internet protocol (IP) addresses) as authentication credentials.

On the other hand, Hind does teach the use of IP (or network) addresses as authentication credentials (see column 11, lines 12 - 24) described in the claim 6 and 10 above, which are quite capable of being used as described in claim 4 as well.

Hence, it would have been obvious to one of ordinary skill in the art to have included the methods and technology shown in Hind, into the invention taught by Yasala above, in order to make it much more difficult for an attacker to masquerade as a valid source of assigned addresses, and to perform various types (such as misdirecting clients or servers to use improper addresses, sending corrupted data to a server which has requested an address assignment, etc.) in its assumed role (see column 11, lines 33 - 39 of the Hind reference). This would help ensure that the client (or entity) communicates with the legitimate target server (or entity see column 11, lines 45 - 47 of the Hind reference). Claims 9 and 29 have limitations where the use of IP (or network) addresses as authentication credentials are strikingly similar to those in claim 5 (and 2, 8, and 31) and thus are rejected under the same premise.

Allowable Subject Matter

Claim 7 is objected to as being dependent upon a rejected base claim, but would be allowable if rewritten in independent form including all of the limitations of the base claim and any intervening claims.

Claims 17 and 23 are objected to as being dependent upon a rejected base claim, but would be allowable if rewritten in independent form including all of the limitations of the base claim and any intervening claims, to overcome the 35 U.S.C. 101 rejections.

Conclusion

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Corbann A. Banks whose telephone number is (571) 270-1021. The examiner can normally be reached on Monday - Thursday from 8:30 am to 5:00 pm. The examiner can also be reached on alternate Fridays during the same hours.

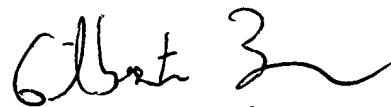
If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Gilberto Barron, can be reached on Monday – Friday, from 8:30 am to 4:30 pm. His telephone number is (571) 272 – 3799. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

C.B.

Corbann Banks

December 04, 2006



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